

FORM PTO-1390 (Modified)
(REV 10-95)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

521 Rec'd PCT/PTO 27 SEP 1999
K01589143
U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR
09/402021

INTERNATIONAL APPLICATION NO.
PCT/JP99/00556 ✓

INTERNATIONAL FILING DATE
09 February 1999 (09.02.99) ✓

PRIORITY DATE CLAIMED
09 February 1998 (09.02.98) ✓

TITLE OF INVENTION

METHOD AND APPARATUS FOR PROCESSING DIGITAL SIGNALS AND METHOD AND APPARATUS FOR
GENERATING DIGITAL SIGNALS AS WELL AS SIGNAL RECORDING MEDIUM AND PROGRAM ✓

APPLICANT(S) FOR DO/EO/US

TSUJI, Minoru; IMAI, Kenichi; KOIKE, Takashi ✓

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). (Combined)
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 18 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.w/ Form 1449 & cited prior art refs.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
A **SECOND** or **SUBSEQUENT** preliminary amendment.
16. ☐ A substitute specification.
17. ☐ A change of power of attorney and/or address letter.
18. ☒ Certificate of Mailing by Express Mail
19. ☒ Other items or information:

- a.) PCT Request Form PCT/RO/101, Specification, Claims and Abstract with Verification of Translation;
- b.) Eleven (11) sheets of formal drawings;
- c.) Forms PCT/IB/301, 304 and 308;
- d.) Front page of published application No. WO99/40584 published on August 12, 1999; and
- e.) Certified translation of Japanese patent priority document No. P10-027585 filed on February 9, 1998.

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.492(a)(1)) <div style="font-size: 2em; font-weight: bold; margin-top: 5px;">09/402021</div>		INTERNATIONAL APPLICATION NO. <div style="font-weight: bold; margin-top: 5px;">PCT/JP99/00556</div>		ATTORNEY'S DOCKET NUMBER <div style="font-weight: bold; margin-top: 5px;">KOIK-P9143</div>	
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20. The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) : <div style="display: flex; justify-content: space-between;"> <div style="width: 80%;"> <input checked="" type="checkbox"/> Search Report has been prepared by the EPO or JPO <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) <input type="checkbox"/> No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) </div> <div style="width: 15%; text-align: right;"> <div style="margin-top: 0px;">\$840.00</div> <div style="margin-top: 10px;">\$670.00</div> <div style="margin-top: 10px;">\$760.00</div> <div style="margin-top: 10px;">\$970.00</div> <div style="margin-top: 10px;">\$96.00</div> </div> </div> <div style="text-align: center; margin-top: 10px; font-weight: bold;"> ENTER APPROPRIATE BASIC FEE AMOUNT = </div>				CALCULATIONS PTO USE ONLY <div style="border: 1px solid black; height: 100px; width: 100%;"></div>	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				<div style="margin-top: 0px;">\$840.00</div> <div style="margin-top: 10px;">\$0.00</div>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	25 - 20 =	5	x \$18.00	\$90.00	
Independent claims	6 - 3 =	3	x \$78.00	\$234.00	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				\$0.00	
TOTAL OF ABOVE CALCULATIONS =				\$1,164.00	
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). <input type="checkbox"/>				\$0.00	
SUBTOTAL =				\$1,164.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				\$0.00	
TOTAL NATIONAL FEE =				\$1,164.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input checked="" type="checkbox"/>				\$40.00	
TOTAL FEES ENCLOSED =				\$1,204.00	
				Amount to be: refunded	\$
				charged	\$

☒ A check in the amount of **\$1,204.00**

to cover the above fees is enclosed.

☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
 A duplicate copy of this sheet is enclosed.

☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **12-1420** A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Charles P. Sammut, Esq.
 Limbach & Limbach L.L.P.
 2001 Ferry Building
 San Francisco, CA 94111
 (415) 433-4150

SIGNATURE

Mayumi Maeda
 NAME

40,075
 REGISTRATION NUMBER

September 27, 1999
 DATE

PATENT

PATENT COOPERATION TREATY
UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

In re Nat'l Phase Application of:)	
)	
MINORU TSUJI ET AL.)	
)	
Based Upon International)	CERTIFICATION
Application No. PCT/JP99/00556)	UNDER
Int'l Filing Date: Feb. 9, 1999)	<u>37 CFR §1.10</u>
)	
Serial No. Not Assigned)	
)	
Filed: September 27, 1999)	
)	
For: METHOD AND APPARATUS FOR)	
PROCESSING DIGITAL SIGNALS)	
AND METHOD AND APPARATUS FOR)	
GENERATING DIGITAL SIGNALS)	
AS WELL AS SIGNAL RECORDING)	
MEDIUM AND PROGRAM RECORDING)	
MEDIUM)	

Attn: Designated/Elected Office (DO/EO/US)
Assistant Commissioner for Patents
Box PCT
Washington, D.C. 20231

Dear Sir:

I hereby certify that this Application for entering the national phase of the above-identified International Application and the documents referred to as enclosed herein are being deposited with the United States Postal Service on this date, **September 27, 1999**, in an envelope bearing "Express Mail Post Office to Addressee" Mailing Label Number **EL254066685US** addressed to: Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231-0001, Attention U.S. Designated/Elected Office (DO/EO/US).

Enclosed are:

1. Transmittal Letter to the U.S. Designated/Elected Office, in duplicate;
2. Verified translation of International Application No. PCT/JP99/00556 as filed February 9, 1999, including PCT Request-Form PCT/RO/101, Specification, Claims and Abstract;

3. Combined Declaration/Power of Attorney/Claim of Priority;
4. Eleven (11) Sheets of Formal Drawings comprising Figures 1 through 16, inclusive;
5. Assignment with Form PTO 1595 Assignment Recordation Cover Sheet;
6. Copies of Forms PCT/IB/301, 304, 308;
7. International Search Report;
8. Front cover page of International Application published on August 12, 1999 as Publication No. WO99/40584;
9. Information Disclosure Statement with Form 1449, Copy of International Search Report in English translation, and Cited Prior Art References;
10. Certified translation of Japanese priority patent application No. P10-027585 filed on February 9, 1998;
11. Check in the amount of \$1,204.00; and
12. Acknowledgement Postcard.

Dated: September 27, 1999


Susan E. Ozanne

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Attorney Docket No. KOIK-P9143